

---

**From:** Bou, Vutha [vbou@sterneagee.com]  
**Sent:** Thursday, February 06, 2014 2:47 PM  
**To:** Eady, Joe  
**Subject:** FW: free trading americawest

Vutha Bou  
Margin Manager  
Sterne Agee  
2 Perimeter Park South, Suite 100W  
Birmingham, AL 35243  
205.414.7290 (direct)  
205.868.6769 (fax)  
[www.sterneagee.com](http://www.sterneagee.com)

---

**From:** Kelly, Carrie [mailto:CStrickland@sterneagee.com]  
**Sent:** Wednesday, October 12, 2011 8:58 AM  
**Subject:** FW: free trading americawest

Michael,

A DWAC withdrawal will send shares to the transfer agent, not another broker dealer. If shares are coming out of an account, you should first contact Margins. I have included them in the e-mail so they may assist in the delivery of these shares to another broker.

Thanks  
Carrie Kelly  
Securities Transfer Supervisor  
Sterne Agee  
2 Perimeter Park S., Suite 100W  
Birmingham, AL 35243  
205.414.7212  
205.868.6762 (fax)  
[www.sterneagee.com](http://www.sterneagee.com)

---

**From:** Michael R. Egan [mailto:megan@johnthomasbd.com]  
**Sent:** Wednesday, October 12, 2011 8:42 AM  
**To:** Kelly, Carrie  
**Subject:** RE: free trading americawest

We are sending shares out to his broker overseas

---

**From:** Kelly, Carrie [mailto:CStrickland@sterneagee.com]  
**Sent:** Wednesday, October 12, 2011 9:41 AM  
**To:** Michael R. Egan  
**Cc:** Transfer Agent Direct Deposits  
**Subject:** RE: free trading americawest

Michael,

A DWAC will not require this type of info. They were requesting agent info (see highlighted below), however, if we are picking up a DWAC it will be directly from the agent. Are you sure this is supposed to be a DWAC from the transfer agent or are they trying to bring in shares from another broker dealer?

Carrie Kelly  
Securities Transfer Supervisor  
Sterne Agee  
2 Perimeter Park S., Suite 100W  
Birmingham, AL 35243  
205.414.7212  
205.868.6762 (fax)  
[www.sterneagee.com](http://www.sterneagee.com)

---

**From:** Michael R. Egan [<mailto:megan@johnthomasbd.com>]  
**Sent:** Wednesday, October 12, 2011 8:33 AM  
**To:** Kelly, Carrie  
**Subject:** FW: free trading americawest

Please see clients information below. This is regarding the DWAC of America West stock out that I sent you yesterday. Do you know what client means by the information he has sent us.  
Best Regards

---

**From:** Bari Latterman  
**Sent:** Wednesday, October 12, 2011 8:31 AM  
**To:** Operations; Michael R. Egan  
**Subject:** FW: free trading americawest

Hi Mike,

Can you let Sterne know this information that Mr. Babikian has provided.

Please let me know if we need any further info for the DWAC.

Best,

Bari A. Latterman  
Executive Sales Assistant  
John Thomas Financial  
14 Wall Street  
23<sup>rd</sup> Floor  
New York, NY 10005  
1-212-299-7826  
1-800-257-1537 Toll Free  
1-800-598-9945 Fax  
1-212-658-9125 Overseas Fax  
[blatterman@johnthomasbd.com](mailto:blatterman@johnthomasbd.com)  
[www.johnthomasbd.com](http://www.johnthomasbd.com)



JOHN THOMAS FINANCIAL  
MEMBER FINRA/SIPC/NASD

---

**From:** John Jack [<mailto:mapleboyone@gmail.com>]  
**Sent:** Tuesday, October 11, 2011 10:12 PM

**To:** Bari Latterman  
**Subject:** Re: free trading americawest

Hi Bari,

Can you please give the foillowing information to sterne

DTC 10 / BBH New York / BBHCUS33  
ifo acc. [REDACTED] 5317, SIX SIS / INSECHZZ  
for acc. [REDACTED] 9661, Frankfurter Bankgesellschaft AG / FBGSCHZZ

Furthermore, we need to know the details of the Transfer Agent, contact person and account number and/or name of the registered person under which that person is known to the agent. Trade & Settlement date.

thanks a lot

On Mon, Oct 10, 2011 at 3:42 PM, Bari Latterman <[blatterman@johnthomasbd.com](mailto:blatterman@johnthomasbd.com)> wrote:

Hello John,

Hope all is well. America West is finally DWAC eligible. Please let your overseas firm know that they should update their system with the number of shares and the stock to be received as Sterne Agee is now going to update their system for delivery of the stock.

Please do not hesitate to contact me if I can be of any assistance.

Best regards,

Bari A. Latterman

Executive Sales Assistant

John Thomas Financial

14 Wall Street

23<sup>rd</sup> Floor

New York, NY 10005

1-212-299-7826

1-800-257-1537 Toll Free

1-800-598-9945 Fax

1-212-658-9125 Overseas Fax

blatterman@johnthomasbd.com

www.johnthomasbd.com



---

**From:** John Jack [mailto:[mapleboyone@gmail.com](mailto:mapleboyone@gmail.com)]

**Sent:** Tuesday, September 13, 2011 12:01 PM

**To:** Bari Latterman

**Subject:** Re: free trading americawest

hi bari,

there must be something more to this process... Sterne probably needs the receiving bank's coordinates so that they can issue the dwac don't they?

On Tue, Sep 13, 2011 at 10:41 AM, Bari Latterman <[blatterman@johnthomasbd.com](mailto:blatterman@johnthomasbd.com)> wrote:

Good Morning John,

We have advised Sterne Agee and the system has been updated.

I will find out exactly how long this should take and get right back to you.

Best regards,

Bari A. Latterman

Executive Sales Assistant

John Thomas Financial

14 Wall Street

23<sup>rd</sup> Floor

New York, NY 10005

1-212-299-7826

1-800-257-1537 Toll Free

1-800-598-9945 Fax

1-212-658-9125 Overseas Fax

blatterman@johnthomasbd.com

www.johnthomasbd.com



---

**From:** John Jack [mailto:[mapleboyone@gmail.com](mailto:mapleboyone@gmail.com)]

**Sent:** Monday, September 12, 2011 6:57 PM

**To:** Bari Latterman

**Subject:** Re: free trading americawest

Hi Bari,

I have informed them of that, what else is needed now to do this?

On Mon, Sep 12, 2011 at 12:55 PM, Bari Latterman <[blatterman@johnthomasbd.com](mailto:blatterman@johnthomasbd.com)> wrote:

Good Afternoon John,

I hope all is well. In order to facilitate this transfer, you will need to inform your overseas firm of the number of shares (966,667) and the stock (AWSR) to be received. The remaining shares (500,000) are still restricted.

Once this has been done please let me know and I will let our back office know to advise Sterne Agee to update their system as well.

Please do not hesitate to contact me if I can be of any assistance.

Best regards,

Bari A. Latterman

Executive Sales Assistant

John Thomas Financial

14 Wall Street

23<sup>rd</sup> Floor

New York, NY 10005

1-212-299-7826

1-800-257-1537 Toll Free

1-800-598-9945 Fax

1-212-658-9125 Overseas Fax

blatterman@johnthomasbd.com

www.johnthomasbd.com



JOHN THOMAS FINANCIAL  
MEMBER FINRA/SIPC/NASDAQ

---

**From:** John Jack [mailto:[mapleboyone@gmail.com](mailto:mapleboyone@gmail.com)]

**Sent:** Monday, September 12, 2011 10:11 AM

**To:** Bari Latterman

**Subject:** Re: free trading americawest



Hi Bari,

It's been about 2 weeks since I last checked in with you regarding the americawest free trading, can yuo please let me know what the situation is as far as dwac the stock over to another firm?

Thank you

On Wed, Aug 31, 2011 at 2:00 PM, Bari Latterman <[blatterman@johnthomasbd.com](mailto:blatterman@johnthomasbd.com)> wrote:

Good Afternoon John,

I will look into that for you and get back to you as soon as possible.

Best regards,

Bari A. Latterman

Executive Sales Assistant

John Thomas Financial

14 Wall Street

23<sup>rd</sup> Floor

New York, NY 10005

1-212-299-7826

1-800-257-1537 Toll Free

1-800-598-9945 Fax

1-212-658-9125 Overseas Fax

[blatterman@johnthomasbd.com](mailto:blatterman@johnthomasbd.com)

[www.johnthomasbd.com](http://www.johnthomasbd.com)



---

**From:** John Jack [mailto:[mapleboyone@gmail.com](mailto:mapleboyone@gmail.com)]  
**Sent:** Wednesday, August 31, 2011 12:40 PM  
**To:** Bari Latterman  
**Subject:** Re: free trading americawest

hi bari,

i was under the impression that you were going to pull out the certificates and send them to me physically... otherwise is there any way you can dwac the stock over to my swiss bank ?

On Wed, Aug 31, 2011 at 12:38 PM, Bari Latterman <[blatterman@johnthomasbd.com](mailto:blatterman@johnthomasbd.com)> wrote:

Good Afternoon John,

Hope all is well! As of now you own 966,667 unrestricted shares of America West Resources Inc in your account, [REDACTED] 5752.

The 500,000 shares will be restricted until November 2, 2011 at which time we can submit the paperwork to have the legend removed.

Please do not hesitate to contact me if I can be of any assistance.

Best regards,

Bari A. Latterman

Executive Sales Assistant

John Thomas Financial



14 Wall Street

23<sup>rd</sup> Floor

New York, NY 10005

1-212-299-7826

1-800-257-1537 Toll Free

1-800-598-9945 Fax

1-212-658-9125 Overseas Fax

blatterman@johnthomasbd.com

www.johnthomasbd.com



---

**From:** John Jack [mailto:[mapleboyone@gmail.com](mailto:mapleboyone@gmail.com)]

**Sent:** Tuesday, August 30, 2011 1:35 PM

**To:** Bari Latterman

**Subject:** free trading americawest

hi bari,

i hope youre doing well

it's been a few weeks since i had the pleasure of being at your office last, i was wondering if you had any positive updates for me regarding the free trading certificates for americawest and the dcuments that go along

thanks a bunch

john